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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	<b>Application Number</b>	09/845,138	
	<b>Filing Date</b>	04/30/2001	
	<b>First Named Inventor</b>	OTERO	
	<b>Group Art Unit</b>	2825	
	<b>Examiner Name</b>		
<b>Total Number of Pages in this Submission</b>		<b>Attorney Docket Number</b>	21710-68171

**ENCLOSURES (check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers/Recordation Cover Sheet (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input checked="" type="checkbox"/> Drawing(s): Substitute Drawings Under 37 CFR 1.84	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group ( <i>Appeal Notice, Brief, Reply Brief</i> )
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input checked="" type="checkbox"/> Power of Attorney/Revocation/Change of Correspondence Address	<input checked="" type="checkbox"/> <b>Other Enclosure(s) (please identify below):</b>
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	(1) Request for Corrected Filing Receipt
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	(2) Supplemental Information Data Sheet
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	RETURN RECEIPT POSTCARD
<input checked="" type="checkbox"/> Response to Notice re Missing Parts / Corrected Application Papers / Incomplete Application	<b>Remarks</b>	
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

**CUSTOMER NO. 27730**

<b>Firm or Individual name</b>	Joseph E. Chovanes (Registration No. 33,481)
<b>Signature</b>	
<b>Date</b>	October 18, 2001

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner of Patents, Washington, DC 20231 on this date: October 18, 2001.

<b>Typed or printed name</b>	Joseph E. Chovanes		
<b>Signature</b>		<b>Date</b>	October 18, 2001

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**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT (\$)** 130**METHOD OF PAYMENT**1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:Deposit  
Account

50-0979

Deposit  
Account  
Name☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17☐ Applicant claims small entity status  
See 37 CFR 1.272. ☒ **Payment Enclosed**☒ Check ☐ Credit Card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
104	740	201	370	Utility filing fee
106	330	206	165	Design filing fee
107	510	207	255	Plant filing fee
108	740	208	370	Reissue filing fee
114	160	214	80	Provisional filing fee

**SUBTOTAL (1)**

\$

**2. EXTRA CLAIMS FEES**

	Extra Claims	Fee from below	Fee Paid
Total Claims	— - 20** =	X 18 =	\$
Independent Claims	— - 3** =	X 84 =	\$
Multiple Independent		+ 280 =	\$

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee Code	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

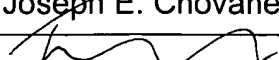
**SUBTOTAL (2)**

\$

\*\*or number previously paid, if greater; For Reissue, see above

**SUBMITTED BY CUSTOMER NO. 27730**

Complete (if applicable)

Name (Print/Type)	Joseph E. Chovanes	Registration No. (Attorney/Agent)	33,481	Telephone	(215) 575-7000
Signature				Date	October 18, 2001

**Complete if known**

Application Number	09/845,138
Filing Date	04/30/2001
First Named Inventor	OTERO <i>et al.</i>
Examiner Name	
Group Art Unit	2825
Attorney Docket No.	21710-69743

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Fee Code	Large Entity Fee (\$)	Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	\$130
139	130	139	130	Non-English specification	
147	2520	147	2520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1840*	113	1840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1440	218	720	Extension for reply within fourth month	
128	1960	228	980	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1510	138	1510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1280	241	640	Petition to revive - unintentional	
142	1280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petition to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	375	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)**

\$



ATTORNEY DOCKET NO. 21710-68171

USSN 09/845,138

RECEIPT  
#  
✓  
#3

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Hernan G. Otero, Steven B. Horn and John Tumilty

Application No.: 09/845,138

Group Art Unit: 2825

Filed: April 30, 2001

Examiner: not yet assigned

Entitled: APPARATUS, METHODS AND ARTICLES OF MANUFACTURE FOR  
CONSTRUCTING AND EXECUTING COMPUTERIZED TRANSACTION  
PROCESSES AND PROGRAMS

I, Joseph E. Chovanes, Registration No. 33,481, certify that this correspondence is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on October 18, 2001.

Commissioner for Patents and Trademarks  
Washington, DC 20231  
ATTN: Office of Initial Patent Examination  
Customer Service Center

**REQUEST FOR CORRECTED FILING RECEIPT**

1. Attached is a copy of the Official Filing Receipt received from the U.S. Patent and Trademark Office in the above-captioned application for which issuance of a corrected filing receipt is respectfully requested.
2. There is a error with respect to the following data, which is:  
[X] incorrectly entered **and/or** [x] omitted:

<u>Error in:</u>	<u>Correct Data</u>
1. <input type="checkbox"/> Applicant's name	: 1.
2. <input type="checkbox"/> Applicant's address	: 2.
3. <input type="checkbox"/> Title	: 3.
4. <input type="checkbox"/> Filing date	: 4.
5. <input type="checkbox"/> Serial Number	: 5.
6. <input type="checkbox"/> Foreign/PCT Application Re:	: 6.

7. ☒ DOMESTIC PRIORITY DATA : 7. THIS APPLICATION IS A CIP OF  
09/823,125 [filed on] 03/30/2001  
WHICH IS A CIP OF 09/773,139 [filed  
on] 01/31/2001, WHICH CLAIMS  
BENEFIT OF 60/241,807 [filed on]  
10/14/2000

☒ The correction(s) is/are not due to any error by Applicant and no fee is due.

**OR**

☐ At least one of the above corrections is due to Applicant's error and the fee therefor,  
under 37 C.F.R. 1.19(h), of \$25.00 is paid as follows:

☐ Enclosed is a check for \$25.00.

☐ Please charge Deposit Account 50-0979

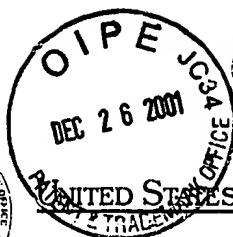
Date: October 18, 2001

Respectfully submitted,



Joseph E. Chovanes  
Registration No. 33,481

DILWORTH PAXSON LLP  
3200 Mellon Bank Center  
1735 Market Street  
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COPY

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/845,138	04/30/2001	2825	1086	21710-68171	10	32	5

CONFIRMATION NO. 3105

27730  
DILWORTH PAXSON LLP  
3200 MELLON BANK CENTER  
1735 MARKET STREET  
PHILADELPHIA, PA 19103

## FILING RECEIPT



\*OC000000006496810\*

Date Mailed: 08/30/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Hernan G. Otero, Huntington, NY;  
Steven B. Horn, New York, NY;  
John Tumilty, New York, NY;

## Assignment For Published Patent Application

Goldman, Sachs & Company;

## Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/241,807 10/14/2000

## Foreign Applications

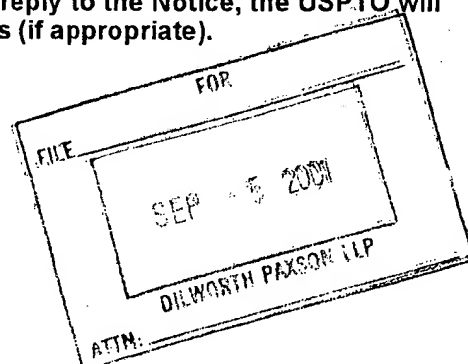
If Required, Foreign Filing License Granted 08/29/2001

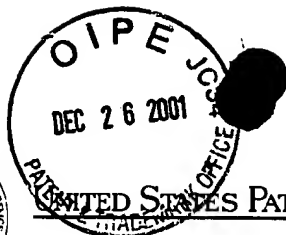
Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title





UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/845,138	04/30/2001	Hernan G. Otero	21710-68171

CONFIRMATION NO. 3105

## FORMALITIES LETTER



\*OC000000006496811\*

27730  
DILWORTH PAXSON LLP  
3200 MELLON BANK CENTER  
1735 MARKET STREET  
PHILADELPHIA, PA 19103

Date Mailed: 08/30/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawings have a line quality that is too light to be reproduced (weight of all lines and letters must be heavy enough to permit adequate reproduction) or text that is illegible (reference characters, sheet numbers, and view numbers must be plain and legible) see 37 CFR 1.84(l) and (p)(1));

12/28/2001 NHOHAM1 00000013 09845138

01 FC:105

130.00 OP

*A copy of this notice **MUST** be returned with the reply.*

09845138-122601

AT  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09045138 122601